

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Application to Make and Register a Firearm

ATF Control Number

To: National Firearms Act Division, Bureau of Alcohol, Tobacco, Firearms and Explosives, P.O. Box 5015, Portland, OR 97208-5015

(Submit in duplicate. Please do not staple documents. See instructions attached.)

As required by Sections 5821 (b), 5822, and 5841 of the National Firearms Act, Title 26 U.S.C., Chapter 53, the undersigned hereby submits application to make and register the firearm described below.

2. Application is made by: Corporation Individual 3a. Trade name (If any) Other Legal Entity Trust Government Entity

3b. Applicant's Full Legal Name and Mailing Address (Type or print below) (See instruction 2d)

3d. County/Parish

3e. Telephone Number

3f. E-mail address

3c. If P.O. Box is shown above, street address must be given here

4. Description of Firearm (complete items a through k) (See instruction 2j)

a. Name and Address of Original Manufacturer and/or Importer of Firearm (If any)

b. Type of Firearm to be made (See definition 2k)
If a destructive device, complete item 4j

c. Caliber or Gauge (Specify one)

d. Model (As marked on firearm)

e. Barrel length:

f. Overall length:

g. Serial Number

h. Additional Description (Indicate required maker's markings to include maker's name (as registered), city and state as each will appear on firearm)

i. Specify Why You Intend To Make Firearm (Use additional sheet if necessary)

j. Type of destructive device (check one box): Firearm Explosives (If the Explosives box is checked, complete item 5 and see instruction 2m)

If an explosive type destructive device, identify the type of explosive(s): _____

k. Is this firearm being reactivated? Yes No (See definition 1k)

5. Applicant's Federal Firearms License (If any) or Explosives License or Permit Number

(Give complete 15-digit Number)

6. Special (Occupational) Tax Status (if applicable) (See definitions)

a. Employer Identification Number

b. Class

Under Penalties of Perjury, I Declare that I have examined this application, including accompanying documents, and to the best of my knowledge and belief it is true, accurate and complete and the making and possession of the firearm described above would not constitute a violation of Title 18, U.S.C., Chapter 44, Title 26, U.S.C., Chapter 53; or any provisions of State or local law.

7. Signature of Applicant

8. Name and Title of Authorized Official

9. Date

The space below is for the use of the Bureau of Alcohol, Tobacco, Firearms and Explosives

By authority of the Director, Bureau of Alcohol, Tobacco, Firearms and Explosives, this application has been examined and the applicant's making and registration of the firearm described above is:

 Approved (With the following conditions, if any) Disapproved (For the following reasons)

EXHIBIT

11

Authorized ATF Official

Date

Previous Editions Are Obsolete

ATF Copy

ATF Form 1 (5320.1)
Revised September 2019

MAKER'S CERTIFICATION (not completed by a GOVERNMENT ENTITY)**10. Law Enforcement Notification (See instruction 2i)**

Each applicant is to provide notification of the proposed making and possession of the firearm described on this Form 1 by providing a copy of the completed form to the chief law enforcement officer in the agency identified below:

Agency or Department Name

Name and Title of Official

Address (Street address or P.O. Box, City, State and Zip Code) to which sent (mailed or delivered)

Information for the Chief Law Enforcement Officer

This form provides notification of the applicant's intent to make and register a National Firearms Act (NFA) firearm. No action on your part is required. However, should you have information that may disqualify this person from making or possessing a firearm, please contact the NFA Division at (304) 616-4500 or NFA@atf.gov. A "Yes" answer to items 11.a. through 11.h. or 15.d. or 15.e. could disqualify a person from acquiring or possessing a firearm. Also, ATF will not approve an application if the making or possession of the firearm is in violation of State or local law.

Maker's Questions (complete only when the maker is an individual)

A maker who is an individual must complete this Section.

11. Answer questions 11.a. through 11.h. Answer questions 13, 15, 16 and 17 if applicable. For any "Yes" answer the applicant shall provide details on a separate sheet. (See instruction 7c and definitions)

	Yes	No
a. Are you under indictment or information in any court for a felony, or any other crime, for which the judge could imprison you for more than one year? (See definition 1n)		
b. Have you ever been convicted in any court for a felony, or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See definition 1n)		
c. Are you a fugitive from justice? (See definition 1t)		
d. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance? Warning: The use or possession of marijuana remains unlawful under Federal law regardless of whether it has been legalized or decriminalized for medicinal or recreational purposes in the state where you reside.		
e. Have you ever been adjudicated as a mental defective OR have you ever been committed to a mental institution? (See definition 1o and 1p)		
f. Have you been discharged from the Armed Forces under dishonorable conditions?		
g. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See definition 1q)		
h. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See definition 1r)		

13. Social Security Number: (See instruction 2f)

Date of Birth:

14a. Ethnicity	<input type="checkbox"/> Hispanic or Latino	14b. Race	<input type="checkbox"/> American Indian or Alaska Native	<input type="checkbox"/> Black or African American	<input type="checkbox"/> White
	<input type="checkbox"/> Not Hispanic or Latino		<input type="checkbox"/> Asian	<input type="checkbox"/> Native Hawaiian or Other Pacific Islander	

15a. Country of Citizenship: (Check/List more than one, if applicable. Nationals of the United States may check U.S.A.) (See definition 1s)

United States of America Other Country/Countries (specify): _____

15b. State of Birth

15c. Country of Birth

	Yes	No
d. Have you ever renounced your United States citizenship?		
e. Are you an alien illegally or unlawfully in the United States?		
f.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa?		
f.2. If "yes", do you fall within any of the exceptions stated in the instructions? Attach the documentation to the application	<input type="checkbox"/> N/A	

16. If you are an alien, record your U.S.-Issued Alien or Admission number (AR#, USCIS#, or I94#): _____

17. Have you been issued a Unique Personal Identification Number (UPIN)? (See instruction 2f) Yes No If yes please list _____

CERTIFICATION: Under penalties imposed by 18 U.S.C. § 924 and 26 U.S.C. § 5861, I certify that, upon submission of this form to ATF, a completed copy of this form will be directed to the chief law enforcement officer (CLEO) shown in item 10, that the statements, as applicable, contained in this certification, and any attached documents in support thereof, are true and correct to the best of my knowledge and belief. NOTE: See instructions 2.d(2) and 2.d(3) for the items to be completed depending on the type of applicant.



Signature of Maker

Date

18. Number of Responsible Persons (see definitions) associated with the applicant trust or legal entity _____

19. Provide the full name (printed or typed) below for each Responsible Person associated with the applicant trust or legal entity (if there are more Responsible Persons than can be listed on the form, attach a separate sheet listing the additional Responsible Person(s)). Please note that a completed Form 5320.23, National Firearms Act (NFA) Responsible Person Questionnaire, must be submitted with the Form 1 application for each Responsible Person.

Full Name

Full Name

20. Method of Payment (Check one) (See instruction 2i) (if paying by credit/debit card, complete the sections below)

Check (Enclosed) Cashier's Check or Money Order (Enclosed) Visa Mastercard American Express Discover Diners Club

Credit/Debit Card Number (No dashes)		Name as Printed on the Credit/Debit Card	Expiration Date (Month & year)
Credit/Debit Card Billing Address:	Address:		
	City:	State:	Zip Code:
			Tax Amount: \$

I Authorize ATF to Charge my Credit/Debit Card the Above Amount.

Signature of Cardholder

Date

Your credit/debit card will be charged the above stated amount upon receipt of your application. The charge will be reflected on your credit/debit card statement. In the event your application is NOT approved, the above amount will be credited to the credit/debit card noted above.

Important Information for Currently Registered Firearms

If you are the current registrant of the firearm described on this form, please note the following information.

Estate Procedures: For procedures regarding the transfer of firearms in an estate resulting from the death of the registrant identified in item 3b, the executor should contact the NFA Division, Bureau of ATF, 244 Needy Road, Martinsburg, WV 25405.

Interstate Movement: If the firearm identified in item 4 is a machinegun, short-barreled rifle, short-barreled shotgun, or destructive device, the registrant may be required by 18 U.S.C. § 922(a)(4) to obtain permission from ATF prior to any transportation in interstate or foreign commerce. ATF Form 5320.20 can be used to request this permission.

Change of Description or Address: The registrant shall notify the NFA Division, Bureau of Alcohol, Tobacco, Firearms and Explosives, 244 Needy Road, Martinsburg, WV 25405, in writing, of any change to the description of the firearm in item 4, or any change to the address of the registrant.

Restrictions on Possession: Any restriction (see approval block on face of form) on the possession of the firearm identified in item 4 continues with the further transfer of the firearm.

Persons Prohibited from Possessing Firearms: If the registrant becomes prohibited from possessing a firearm, please contact the NFA Division for procedures on how to dispose of the firearm.

Proof of Registration: A person possessing a firearm registered as required by the NFA shall retain proof of registration which shall be made available to any ATF officer upon request.

Paperwork Reduction Act Notice

This form is in accordance with the Paperwork Reduction Act of 1995. The information you provide is used to establish that the applicant's making and possession of the firearm would be in conformance with Federal, State, and local law. The data is used as proof of lawful registration of a firearm to the manufacturer. The furnishing of this information is mandatory (26 U.S.C. § 5822).

The estimated average burden associated with this collection of information is 4.0 hours per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestion for reducing this burden should be addressed to Reports Management Officer, Information Technology Coordination Staff, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

- Authority.** Solicitation of this information is made pursuant to the National Firearms Act (26 U.S.C. §§ 5821 and 5822). Disclosure of this information by the applicant is mandatory for any person (other than a manufacturer qualified under the National Firearms Act) making a firearm as defined in the National Firearms Act.
- Purpose.** To verify payment of the tax imposed by 26 U.S.C. § 5821; to determine that the making would not be in violation of law; and to effect registration of the firearm.
- Routine Uses.** The information will be used by ATF to make the determinations set forth in paragraph 2. In addition, to effect registration of the firearm, information as to the identification of the firearm, date of registration, and the identification and address of person entitled to possess the firearm will be entered into the National Firearms Registration and Transfer Record. No information obtained from an application, registration, or records required to be submitted by an individual in order to comply with any provision of the National Firearms Act or regulation issued thereunder, shall, except in connection with prosecution or other action for furnishing false information, be used, directly or indirectly, as evidence against that person in any criminal proceeding with respect to a violation of law occurring prior to or concurrently with the filing of the application. The information from this application may only be disclosed to Federal authorities for purposes of prosecution for violation of the National Firearms Act.
- Effects of not Supplying Information Requested.** Failure to supply complete information will delay processing and may cause denial of the application.

Definitions/Instructions

- Definitions.**
 - National Firearms Act (NFA).** Title 26, United States Code, Chapter 53. The implementing regulations are found in Title 27, Code of Federal Regulations, Part 479.
 - Gun Control Act (GCA).** Title 18, United States Code, Chapter 44. The implementing regulations are found in Title 27, Code of Federal Regulations, Part 478.
 - Firearm.** The term "firearm" means: (1) a shotgun having a barrel or barrels of less than 18 inches in length; (2) a weapon made from a shotgun if such weapon as modified has an overall length of less than 26 inches or a barrel or barrels of less than 18 inches in length; (3) a rifle having a barrel or barrels of less than 16 inches in length; (4) a weapon made from a rifle if such weapon as modified has an overall length of less than 26 inches or a barrel or barrels of less than 16 inches in length; (5) any other weapon, as defined in 26 U.S.C. § 5845(e); (6) a machinegun; (7) a muffler or a silencer for any firearm whether or not such firearm is included within this definition; and (8) a destructive device, as defined in 26 U.S.C. § 5845 (f).
 - Person.** A partnership, company, association, trust, corporation, including each responsible person associated with such an entity; an estate; or an individual.
- Section A**
 - Responsible Person.** In the case of an unlicensed entity, including any trust, partnership, association, company (*including any Limited Liability Company (LLC)*), or corporation, any individual who possesses, directly or indirectly, the power or authority to direct the management and policies of the trust or entity to receive, possess, ship, transport, deliver, transfer or otherwise dispose of a firearm for, or on behalf of, the trust or legal entity.
- Section B**

Trust: Those persons with the power or authority to direct the management and policies of the trust includes any person who has the capability to exercise such power and possesses, directly or indirectly, the power or authority under any trust instrument, or under State law, to receive, possess, ship, transport, deliver, transfer, or otherwise dispose of a firearm for, or on behalf of the trust. Examples of who may be considered a responsible person include settlors/grantors, trustees, partners, members, officers, directors, board members, or owners. An example of who may be excluded from this definition of responsible person is the beneficiary of a trust, if the beneficiary does not have the capability to exercise the enumerated powers or authorities.

 - Employer Identification Number (EIN).** Required of taxpayer filing special (occupational) tax returns under 27 CFR § 479.35.
 - Special (Occupational) Tax.** Required by the NFA to be paid by a Federal firearms licensee engaged in the business of manufacturing (*Class 2*), importing (*Class 1*), or dealing (*Class 3*) in NFA firearms.
 - Federal Firearms License.** A license issued under the provisions of the GCA to manufacture, import or deal in firearms.
 - ATF Officer.** An officer or employee of the Bureau of Alcohol,

Tobacco, Firearms and Explosives (ATF) authorized to perform any function relating to the administration of the NFA.

- Make.** The term "make", and the various derivatives of such word, shall include manufacturing (*other than by one qualified to engage in such business under the NFA*), putting together, altering, any combination of these, or otherwise producing a firearm.
- Reactivation.** The restoration of a registered unserviceable NFA firearm to a functional condition. This action incurs the making tax liability.
- Unserviceable Firearm.** One which is incapable of discharging a shot by means of an explosive and incapable of being readily restored to firing condition. An acceptable method of rendering most firearms unserviceable is to fusion weld the chamber closed and fusion weld the barrel solidly to the frame.
- Maker.** A person applying to make an NFA firearm.
- Prohibited Person.** Generally, 18 U.S.C. § 922 (g) prohibits the shipment, transportation, receipt, or possession in or affecting interstate commerce of a firearm by one who: has been convicted of a misdemeanor or crime of domestic violence; has been convicted of a felony, or any other crime, punishable by imprisonment for a term exceeding one year (*this does not include State misdemeanors punishable by imprisonment of two years or less*); is a fugitive from justice, is an unlawful user of, or addicted to, marijuana or any depressant, stimulant, or narcotic drug, or any other controlled substance; has been adjudicated as a mental defective or has been committed to a mental institution; has been discharged from the Armed Forces under dishonorable conditions, has renounced his or her U.S. citizenship; is an alien illegally in the United States or an alien admitted to the United States under a nonimmigrant visa; or is subject to certain restraining orders. Furthermore, Section 922 (n) prohibits the shipment, transportation, or receipt in or affecting interstate commerce of a firearm by one who is under indictment or information for a felony in any Federal, State or local court, or any other crime, punishable by imprisonment for a term exceeding one year. An information is a formal accusation of a crime verified by a prosecutor.

EXCEPTION: A person who has been convicted of a felony, or any other crime, for which the judge could have imprisoned the person for more than one year, or who has been convicted of a misdemeanor crime of domestic violence, is not prohibited from purchasing, receiving, or possessing a firearm if: (1) under the law of the jurisdiction where the conviction occurred, the person has been pardoned, the conviction has been expunged or set aside, or the person has had their civil rights (the right to vote, sit on a jury, and hold public office) taken away and later restored AND (2) the person is not prohibited by the law of the jurisdiction where the conviction occurred from receiving or possessing firearms. Persons subject to this exception should mark "no" in the applicable box.

- Adjudicated As a Mental Defective.** A determination by a court, board, commission, or other lawful authority that a person, as a result of marked subnormal intelligence, or mental illness, incompetency, condition, or disease: (1) is a danger to himself or to others; or (2) lacks the mental capacity to contract or manage his own affairs. This term shall include: (1) a finding of insanity by a

Instruction (Continued)

court in a criminal case; and (2) those persons found incompetent to stand trial or found not guilty by reason of lack of mental responsibility.

p. Committed to a Mental Institution. A formal commitment of a person to a mental institution by a court, board, commission, or other lawful authority. The term includes a commitment to a mental institution involuntarily. The term includes commitments for other reasons, such as for drug use. The term does not include a person in a mental institution for observation or a voluntary admission to a mental institution.

EXCEPTION NICS Improvement Amendments Act of 2007: A person who has been adjudicated as a mental defective or committed to a mental institution in a state proceeding is not prohibited by the adjudication or commitment if the person has been granted relief by the adjudicating/committing state pursuant to a qualifying mental health relief from disabilities program. Also, a person who has been adjudicated as a mental defective or committed to a mental institution by a department or agency of the Federal Government is not prohibited by the adjudication or commitment if either: (a) the person's adjudication or commitment was set-aside or expunged by the adjudicating/committing agency; (b) the person has been fully released or discharged from all mandatory treatment, supervision, or monitoring by the agency; (c) the person was found by the agency to no longer suffer from the mental health condition that served as the basis of the initial adjudication/commitment; or (d) the adjudication or commitment, respectively is based solely on a medical finding of disability, without an opportunity for a hearing by a court, board, commission, or other lawful authority, and the person has not been adjudicated as a mental defective consistent with section 922(g)(4) of title 18, United States Code; or (e) the person was granted relief from the adjudicating/committing agency pursuant to a qualified mental health relief from disabilities program. Persons who fall within one of the above exceptions should mark "no" in the applicable box. This exception to an adjudication or commitment by a Federal department or agency does not apply to any person who was adjudicated to be not guilty by reason of insanity, or based on a lack of mental responsibility, or found incompetent to stand trial, in any criminal case or under the Uniform Code of Military Justice.

q. Restraining Order. Under 18 U.S.C. § 922, firearms may not be sold to or received by persons subject to a court order that; (A) was issued after a hearing which the person received actual notice of and had an opportunity to participate in; (B) restrains such person from harassing, stalking, or threatening an intimate partner or child of such intimate partner or person, or engaging in other conduct that would place an intimate partner in reasonable fear of bodily injury to the partner or child; and (C)(i) includes a finding that such person represents a credible threat to the physical safety of such intimate partner or child; or (ii) by its terms explicitly prohibits the use, attempted use, or threatened use of physical force against such intimate partner or child that would reasonably be expected to cause bodily injury. An "intimate partner" of a person is, the spouse or former spouse of the person, the parent of a child of the person, or an individual who cohabitates or has cohabitated with the person.

r. Misdemeanor Crime of Domestic Violence. A Federal, State, local, tribal offense that is a misdemeanor under Federal, State, or tribal law and has, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person cohabitating with, or has cohabited with the victim as a spouse, parent, or guardian, or by a person similarly situated to a spouse, parent, or guardian of the victim. The term includes all misdemeanors that have as an element the use or attempted use of physical force or the threatened use of a deadly weapon (e.g., assault and battery), if the offense is committed by one of the defined parties. (See *Exception in the definition of "Prohibited Person"*). A person who has been convicted of a misdemeanor crime of domestic violence also is not prohibited unless; (1) the person was represented by a lawyer or gave up the right to a lawyer; or (2) if the person was entitled to a jury, was tried by a jury, or gave up the right to a jury trial. Persons subject to this exception should mark "no" in the applicable box.

s. Alien Admitted to the United States Under a Nonimmigrant Visa. An alien admitted to the United States under a nonimmigrant visa includes, among others, persons visiting the United States temporarily for business or pleasure, persons studying in the United States who maintain a residence abroad, and certain temporary foreign workers. These aliens must answer "yes" to question 11.d.1 and provide the additional documentation required under question 11.d.2. Permanent resident aliens and aliens legally

admitted to the United States pursuant to either the Visa Waiver Program or to regulations otherwise exempting them from visa requirements may answer "no" to this question and are not required to submit the additional documentation under 11.d.2. An alien admitted to the United States under a nonimmigrant visa is not prohibited from purchasing, receiving, or possessing a firearm if the alien; (1) is in possession of a hunting license or permit lawfully issued by the Federal Government, a State, or local government, or an Indian tribe federally recognized by the Bureau of Indian Affairs, which is valid and unexpired; (2) was admitted to the United States for lawful hunting or sporting purposes; (3) is an official representative of a foreign government who is accredited to the United States Government or the Government's mission to an international organization having its headquarters in the United States; (4) is an official representative of a foreign government who is en route to or from another country to which that alien is accredited; (5) is an official of a foreign government or a distinguished foreign visitor who has been so designated by the Department of State; (6) is a foreign law enforcement officer of a friendly foreign government entering the United States on official law enforcement business; (7) has received a waiver from the prohibition from the Attorney General of the United States.

t. Fugitives from Justice. Any person who has fled from any State to avoid prosecution for a felony or a misdemeanor, or any person who leaves the State to avoid giving testimony in any criminal proceeding. The term also includes any person who knows that misdemeanor or felony charges are pending against such person and who leaves the State of prosecution.

2. Preparation of Application and Payment of Tax.

a. Authority. As provided by 26 U.S.C. § 5822, any person (*other than a qualified manufacturer of firearms (see paragraph b)*) seeking to make a firearm must submit, in duplicate, a separate application on this form for each firearm. The applicant maker must furnish all the information called for, except as noted by instructions within, on this application form. Please note that the form now contains a 3rd (CLEO) copy of the form for use in compliance with instruction 2g and item 10 of the form.

b. Registration by Qualified Manufacturer. A person who has a Federal firearms license to manufacture firearms (*Type 07 or 10*) and who has paid special (*occupational*) tax to manufacture NFA firearms is exempt from the making tax and filing of the ATF Form 1 application. Such qualified manufacturer must report and register each NFA firearm manufactured by filing ATF Form 2, Notice of Firearms Manufactured or Imported, as required by 27 CFR § 479.103.

c. Payment of/Exemption from Payment of Tax. As provided in 26 U.S.C. § 5821, there is a \$200.00 tax on each firearm made, except as provided in 26 U.S.C. §§ 5852 and 5853, when an NFA firearm may be made without payment of the tax when made by, or on behalf of the United States or any State or political subdivision thereof. Documentation that the firearm is being made for a government entity, such as a United States government contract or a State or local government agency purchase order, must accompany the application. The reactivation of a registered unserviceable firearm is subject to the making tax.

d. Completion of Form (Note: If the applicant is a Federal firearms licensee except for a Type 03 license, items 10, 11, 12, 13, 14, 15, 16, and 17 are not required to be completed.)

(1) The applicant shall provide the applicant's full legal name to include middle and mailing address in item 3b. If a post office box address is used, the physical address shall be entered in item 3c. If the applicant is a trust or legal entity, show only the complete name of the trust or legal entity and do not include any individual names (*such as names of trustees or corporate officials*). The address shall be the location within the particular state where the firearm will be maintained for a trust or legal entity. In the case of two or more locations for a legal entity, the address shown shall be the principal place of business within the particular state (*or principal office, in the case of a corporation*).

(2) If the applicant is an individual, the entire Form 1 shall be completed except for items 18 and 19. In addition, the applicant must include his or her fingerprints on FBI Form FD-258 and his or her photographs (*see instruction 2g*).

(3) If the applicant is other than an individual, e.g., a trust or legal entity such as a corporation, the applicant shall not complete items 11, 12, 13, 14, 15, 16 and 17. All other items must be completed including the signing of the Certification statement. See 2.d.5. for Responsible Person Requirements.

(4) Documentation of entity existence: (a) If the applicant is other than an individual, the applicant must attach documentation evidencing the existence and validity of the entity, which includes complete and unredacted copies of partnership agreements, articles of incorporation, corporate registration, declarations of trust with any trust schedules, attachments, exhibits, and enclosures. (b) If the applicant entity has had an application approved as a maker or transferee within the preceding 24 months of the date of filing this application, and there has been no change to the documentation evidencing the existence and validity of the entity previously provided, the entity may provide a certification that the information has not been changed since the prior approval and shall identify the application for which the documentation had been submitted by form number, serial number, and date approved.

(5) If the applicant is other than an individual, each responsible person (see definition 1e) for the trust or legal entity must include a completed ATF Form 5320.23, National Firearms Act (NFA) Responsible Person Questionnaire, with the submitted Form 1.

(6) Item 18 (Method of Payment) is obscured on the ATF copy 2 (Registrant) and the CLEO copy. In addition, item 4g (serial number) is obscured on the CLEO copy. These fields do not require completion on these copies.

e. **Photograph and Fingerprints.** An individual maker (including any Federally licensed collector who is an individual but not any other type of Federal firearms licensee) must (1) attach to each copy except for the CLEO copy in item 12 of the ATF Form 1, a 2 inch x 2 inch photograph of his/her frontal view taken within one year prior to the date of the application and (2) submit two properly completed FBI Forms FD-258 (Fingerprint Card with blue lines) with application. The fingerprints must be clear for accurate classification and taken by someone properly equipped to take them.

f. **Social Security and UPIN.** The Social Security number and UPIN are not required. However, this information assists with the efficient completion of the NICS background check. Please be aware that refusal to provide this information may result in a delay in the NICS background check process.

g. **Signatures.** All signatures required on ATF Form 1 must be original in ink on both copies. **Exceptions:** In the case of eforms on where a variance has been granted a Digital/Electronic signature may be used.

- (1) if the applicant is an individual, the applicant shall sign the form;
- (2) if the applicant is a trust or legal entity, a responsible person of the trust or legal entity shall sign the form;
- (3) if the applicant is a Federal firearms licensee, a responsible person of the Federal firearms licensee shall sign the form; or
- (4) if the applicant is a government entity, a person who has authority to sign for the entity shall sign the form.

h. **Law Enforcement Notification.** The applicant must provide a copy of the Form 1 to the chief law enforcement officer (CLEO) who has jurisdiction over the area of the applicant's address shown in item 3b of the Form 1. In addition, if the applicant is other than an individual, a copy of the Form 5320.23, National Firearms Act (NFA) Responsible Person Questionnaire, for each responsible person must be provided to their respective chief law enforcement officer. The chief law enforcement officer is considered to be the Chief of Police; the Sheriff; the Head of the State Police; or a State or local district attorney or prosecutor.

i. **Remittance.** If the application is subject to the \$200 making tax, please complete item 20 of the ATF Form 1. Please note that you may pay the tax by credit/debit card, check, or money order. The check or money order is to be made payable to ATF. Do not send cash.

j. **Photocopies, Computer Generated Versions or Download Version.** The form may be copied or downloaded (*for example, from the ATF website (www.atf.gov)*). The form does not have to be printed front to back.

k. **Description of Firearm and Markings.** (1) Item 4a. If you are modifying an existing firearm, enter the name and location of the original manufacturer. If you are creating the firearm, enter the maker's name, city and state. (2) Item 4b. The types of NFA firearms are listed in the definitions; (3) Item 4c. Specify one caliber or gauge. If there is another designation, indicate the designation in item 4h. (4) Item 4d. Show the model designation (if known). (5) Item 4e and 4f. Specify one barrel length and overall length in items 4e and 4f as applicable. Note: if the firearm has a folding or collapsible stock, the overall measurement is to be made with the stock extended. (6) Item 4g. Do not alter or modify the serial number of an existing firearm. Enter the existing serial number or, if a new firearm, one you create. (7) Markings: The maker is required to mark the firearm with the maker's name, city and state as shown in item 3b. All markings are to be in compliance with 27 CFR 478.92 and 479.102.

l. **State or Local Permit.** If a state or local permit or license is required before the making of the firearm, a copy of the permit or license must be submitted with the application. If the applicant is a trust or legal entity, when the State of residence or any responsible person requires a State or local permit or license, a copy of the permit or license must be submitted with Form 5320.23, National Firearms Act (NFA) Responsible Person Questionnaire.

m. **Compliance with explosives laws (18 U.S.C. Chapter 40) and regulations (27 CFR Part 555).** If the application is for a destructive device utilizing explosive materials, check the Explosives box in item 4j and provide the type(s) of explosives to be used. If the applicant is other than a government agency, item 5 must be completed with an explosives license or permit number issued to the applicant. If the applicant is other than an individual, such as a legal entity, and does not have an explosives license or permit, then a responsible person for the applicant must have a license or permit and enter the information in item 5. To comply with the explosives laws and regulations, any member of a legal entity must also be identified as a responsible person or employee possessor on the explosives licenser or permit. A trust cannot be issued an explosives license or permit.

n. **Submission.** The maker shall submit 2 complete forms (ATF copy and registrant copy) with original signatures to the NFA Division at the address on the face of the form. The applicant shall direct a 3rd complete copy of the form to the chief local law enforcement officer (CLEO) as provided in instruction 2g and item 10.

3. **Approval of Application.** Upon approval of an application, the NFA Division will affix the NFA tax stamp (if any) to the application, cancel it, and return the approved copy to the maker. The approval of the application effectuates registration of the firearm to the maker; however, the firearm must not be made until the applicant has been approved.

4. **Withdrawal of Application.** The maker may withdraw the application prior to approval by the submission of a signed, written request to the Chief, NFA Division either by mail to 244 Needy Road, Martinsburg, WV 25405 or by emailing a signed copy to nfafax@atf.gov. The NFA Division will arrange for a refund of any tax paid.

5. **Cancellation of Approved Application.** An approved application may be cancelled only if the firearm had not been made or modified. The maker must return the approved application with original tax stamp affixed with a written request for cancellation, citing the need and that the making of the firearm did not take place. The NFA Division will arrange for a refund of any tax paid.

6. **Disapproval of Application.** If the application is disapproved, the NFA Division will note the reason for disapproval on the application and return one copy to the maker. The NFA Division will arrange for a refund of any tax paid.

7. **Reason for Disapproval.** 26 U.S.C. § 5822 provides that applications shall be denied if the making or possession of the firearm would place the maker in violation of law.

a. **Violation of Law.** Applications shall be denied if the making or possession of the firearm would place the person making the firearm in violation of law.

- b. **Machineguns.** 18 U.S.C. § 922 (o) provides that a machinegun may be made only for government use or export. An application will be denied unless the making meets these criteria.
- c. **Persons Prohibited from Making a Firearm.** The application will be disapproved if the maker is a person prohibited from possessing a firearm. For information regarding persons prohibited from possessing a firearm, refer to definitions 1n through 1t.

8. **Inquiries.** Information relating to the NFA and other firearms laws is available at the ATF Internet website at www.atf.gov. Any inquiry relating to the status of an application to transfer an NFA firearm or about procedures in general should be directed to the NFA Division at (304) 616-4500 or emailed to nfa@atf.gov. Please be aware that any dissemination by ATF of information relating to the application to register an NFA firearm must conform with the restrictions in 26 U.S.C. § 6103.

9. **Penalties.** Any person who violates or fails to comply with any of the requirements of the NFA shall, upon conviction, be fined not more than \$10,000 or be imprisoned for not more than 10 years, or both. Any firearm involved in a violation of the NFA shall be subject to seizure and forfeiture. It is unlawful for any person to make or cause the making of a false entry on any application or record required by the NFA knowing such entry to be false.

10. **Compliance with the Gun Control Act.** Person must also comply with all relevant portions of the GCA.

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Application to Make and Register a Firearm

ATF Control Number

To: National Firearms Act Division, Bureau of Alcohol, Tobacco, Firearms and Explosives, P.O. Box 5015, Portland, OR 97208-5015

(Submit in duplicate. Please do not staple documents. See instructions attached.)

As required by Sections 5821 (b), 5822, and 5841 of the National Firearms Act, Title 26 U.S.C., Chapter 53, the undersigned hereby submits application to make and register the firearm described below.

2. Application is made by: Corporation Individual 3a. Trade name (If any) Other Legal Entity Trust Government Entity

3b. Applicant's Full Legal Name and Mailing Address (Type or print below) (See instruction 2d)

3d. County/Parish

3e. Telephone Number

3f. E-mail address

3c. If P.O. Box is shown above, street address must be given here

1. Type of Application (Check one)

 a. Tax Paid. Submit your tax payment of \$200 with the application. The tax may be paid by credit or debit card, check, or money order. Please complete item 17. Upon approval of the application, we will affix and cancel the required National Firearms Act Stamp. (See instruction 2c and 3) b. Tax Exempt because firearm is being made on behalf of the United States, or any department, independent establishment, or agency thereof. c. Tax Exempt because firearm is being made by or on behalf of any State or possession of the United States, or any political subdivision thereof, or any official police organization of such a government entity engaged in criminal investigations.

4. Description of Firearm (complete items a through k) (See instruction 2j)

a. Name and Address of Original Manufacturer and/or Importer of Firearm (If any)	b. Type of Firearm to be made (See definition 2k) <i>If a destructive device, complete item 4j</i>	c. Caliber or Gauge (Specify one)	d. Model (As marked on firearm)	
			e. Barrel length:	f. Overall length:
			g. Serial Number	
h. Additional Description (Indicate required maker's markings to include maker's name (as registered), city and state as each will appear on firearm)		i. Specify Why You Intend To Make Firearm (Use additional sheet if necessary)		

j. Type of destructive device (check one box): Firearm Explosives (If the Explosives box is checked, complete item 5 and see instruction 2m)

If an explosive type destructive device, identify the type of explosive(s): _____

k. Is this firearm being reactivated? Yes No (See definition 1k)

5. Applicant's Federal Firearms License (If any) or Explosives License or Permit Number

(Give complete 15-digit Number)

6. Special (Occupational) Tax Status (if applicable) (See definitions)

a. Employer Identification Number

b. Class

Under Penalties of Perjury, I Declare that I have examined this application, including accompanying documents, and to the best of my knowledge and belief it is true, accurate and complete and the making and possession of the firearm described above would not constitute a violation of Title 18, U.S.C., Chapter 44, Title 26, U.S.C., Chapter 53; or any provisions of State or local law.

7. Signature of Applicant

8. Name and Title of Authorized Official

9. Date

The space below is for the use of the Bureau of Alcohol, Tobacco, Firearms and Explosives

By authority of the Director, Bureau of Alcohol, Tobacco, Firearms and Explosives, this application has been examined and the applicant's making and registration of the firearm described above is:

 Approved (With the following conditions, if any) Disapproved (For the following reasons)

Authorized ATF Official

Date

MAKER'S CERTIFICATION (not completed by a GOVERNMENT ENTITY)**10. Law Enforcement Notification (See instruction 2i)**

Each applicant is to provide notification of the proposed making and possession of the firearm described on this Form 1 by providing a copy of the completed form to the chief law enforcement officer in the agency identified below:

Agency or Department Name

Name and Title of Official

Address (Street address or P.O. Box, City, State and Zip Code) to which sent (mailed or delivered)

Information for the Chief Law Enforcement Officer

This form provides notification of the applicant's intent to make and register a National Firearms Act (NFA) firearm. No action on your part is required. However, should you have information that may disqualify this person from making or possessing a firearm, please contact the NFA Division at (304) 616-4500 or NFA@atf.gov. A "Yes" answer to items 11.a. through 11.h. or 15.d. or 15.e. could disqualify a person from acquiring or possessing a firearm. Also, ATF will not approve an application if the making or possession of the firearm is in violation of State or local law.

Maker's Questions (complete only when the maker is an individual)

A maker who is an individual must complete this Section.

11. Answer questions 11.a. through 11.h. Answer questions 13, 15, 16 and 17 if applicable. For any "Yes" answer the applicant shall provide details on a separate sheet. (See instruction 7c and definitions)

	Yes	No
a. Are you under indictment or information in any court for a felony, or any other crime, for which the judge could imprison you for more than one year? (See definition 1n)		
b. Have you ever been convicted in any court for a felony, or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See definition 1n)		
c. Are you a fugitive from justice? (See definition 1t)		
d. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance? Warning: The use or possession of marijuana remains unlawful under Federal law regardless of whether it has been legalized or decriminalized for medicinal or recreational purposes in the state where you reside.		
e. Have you ever been adjudicated as a mental defective OR have you ever been committed to a mental institution? (See definition 1o and 1p)		
f. Have you been discharged from the Armed Forces under dishonorable conditions?		
g. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See definition 1q)		
h. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See definition 1r)		

Date of Birth:

14a. Ethnicity	<input type="checkbox"/> Hispanic or Latino	14b. Race	<input type="checkbox"/> American Indian or Alaska Native	<input type="checkbox"/> Black or African American	<input type="checkbox"/> White
	<input type="checkbox"/> Not Hispanic or Latino		<input type="checkbox"/> Asian	<input type="checkbox"/> Native Hawaiian or Other Pacific Islander	

15a. Country of Citizenship: (Check/List more than one, if applicable. Nationals of the United States may check U.S.A.) (See definition 1s)

United States of America Other Country/Countries (specify): _____

15b. State of Birth	15c. Country of Birth	Yes	No
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d. Have you ever renounced your United States citizenship?

e. Are you an alien illegally or unlawfully in the United States?

f.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa?

f.2. If "yes", do you fall within any of the exceptions stated in the instructions? Attach the documentation to the application N/A

16. If you are an alien, record your U.S.-Issued Alien or Admission number (AR#, USCIS#, or I94#): _____

17. Have you been issued a Unique Personal Identification Number (UPIN)? (See instruction 2f) Yes No If yes please list _____

CERTIFICATION: Under penalties imposed by 18 U.S.C. § 924 and 26 U.S.C. § 5861, I certify that, upon submission of this form to ATF, a completed copy of this form will be directed to the chief law enforcement officer (CLEO) shown in item 10, that the statements, as applicable, contained in this certification, and any attached documents in support thereof, are true and correct to the best of my knowledge and belief. NOTE: See instructions 2.d(2) and 2.d(3) for the items to be completed depending on the type of applicant.

Signature of Maker

Date

18. Number of Responsible Persons (*see definitions*) associated with the applicant trust or legal entity _____

19. Provide the full name (printed or typed) below for each Responsible Person associated with the applicant trust or legal entity (*if there are more Responsible Persons than can be listed on the form, attach a separate sheet listing the additional Responsible Person(s)*). Please note that a completed Form 5320.23, National Firearms Act (NFA) Responsible Person Questionnaire, must be submitted with the Form 1 application for each Responsible Person.

Full Name

Full Name

Important Information for Currently Registered Firearms

If you are the current registrant of the firearm described on this form, please note the following information.

Estate Procedures: For procedures regarding the transfer of firearms in an estate resulting from the death of the registrant identified in item 3b, the executor should contact the NFA Division, Bureau of ATF, 244 Needy Road, Martinsburg, WV 25405.

Interstate Movement: If the firearm identified in item 4 is a **machinegun**, **short-barreled rifle**, **short-barreled shotgun**, or **destructive device**, the registrant may be required by 18 U.S.C. § 922(a)(4) to obtain permission from ATF prior to any transportation in interstate or foreign commerce. ATF Form 5320.20 can be used to request this permission.

Change of Description or Address: The registrant shall notify the NFA Division, Bureau of Alcohol, Tobacco, Firearms and Explosives, 244 Needy Road, Martinsburg, WV 25405, in writing, of any change to the description of the firearm in item 4, or any change to the address of the registrant.

Restrictions on Possession: Any restriction (*see approval block on face of form*) on the possession of the firearm identified in item 4 continues with the further transfer of the firearm.

Persons Prohibited from Possessing Firearms: If the registrant becomes prohibited from possessing a firearm, please contact the NFA Division for procedures on how to dispose of the firearm.

Proof of Registration: A person possessing a firearm registered as required by the NFA shall retain proof of registration which shall be made available to any ATF officer upon request.

Paperwork Reduction Act Notice

This form is in accordance with the Paperwork Reduction Act of 1995. The information you provide is used to establish that the applicant's making and possession of the firearm would be in conformance with Federal, State, and local law. The data is used as proof of lawful registration of a firearm to the manufacturer. The furnishing of this information is mandatory (26 U.S.C. § 5822).

The estimated average burden associated with this collection of information is 4.0 hours per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestion for reducing this burden should be addressed to Reports Management Officer, Information Technology Coordination Staff, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

U.S. Department of Justice

Bureau of Alcohol, Tobacco, Firearms and Explosives

Application to Make and Register a Firearm

ATF Control Number

To: National Firearms Act Division, Bureau of Alcohol, Tobacco, Firearms and Explosives, P.O. Box 5015, Portland, OR 97208-5015

(Submit in duplicate. Please do not staple documents. See instructions attached.)

As required by Sections 5821 (b), 5822, and 5841 of the National Firearms Act, Title 26 U.S.C., Chapter 53, the undersigned hereby submits application to make and register the firearm described below.

2. Application is made by: Corporation Individual 3a. Trade name (If any) Other Legal Entity Trust Government Entity

3b. Applicant's Full Legal Name and Mailing Address (Type or print below) (See instruction 2d)

3d. County/Parish

3e. Telephone Number

3f. E-mail address

3c. If P.O. Box is shown above, street address must be given here

1. Type of Application (check one)

 a. Tax Paid. Submit your tax payment of \$200 with the application. The tax may be paid by credit or debit card, check, or money order. Please complete item 17. Upon approval of the application, we will affix and cancel the required National Firearms Act Stamp. (See instruction 2c and 3) b. Tax Exempt because firearm is being made on behalf of the United States, or any department, independent establishment, or agency thereof. c. Tax Exempt because firearm is being made by or on behalf of any State or possession of the United States, or any political subdivision thereof, or any official police organization of such a government entity engaged in criminal investigations.

4. Description of Firearm (complete items a through k) (See instruction 2j)

a. Name and Address of Original Manufacturer and/or Importer of Firearm (If any)

b. Type of Firearm to be made (See definition 2k)
If a destructive device, complete item 4j

c. Caliber or Gauge (Specify one)

d. Model (As marked on firearm)

e. Barrel length:

f. Overall length:

h. Additional Description (Indicate required maker's markings to include maker's name (as registered), city and state as each will appear on firearm)

i. Specify Why You Intend To Make Firearm (Use additional sheet if necessary)

j. Type of destructive device (check one box): Firearm Explosives (If the Explosives box is checked, complete item 5 and see instruction 2m)

If an explosive type destructive device, identify the type of explosive(s): _____

k. Is this firearm being reactivated? Yes No (See definition 1k)

5. Applicant's Federal Firearms License (If any) or Explosives License or Permit Number

(Give complete 15-digit Number)

6. Special (Occupational) Tax Status (if applicable) (See definitions)

a. Employer Identification Number

b. Class

Under Penalties of Perjury, I Declare that I have examined this application, including accompanying documents, and to the best of my knowledge and belief it is true, accurate and complete and the making and possession of the firearm described above would not constitute a violation of Title 18, U.S.C., Chapter 44, Title 26, U.S.C., Chapter 53; or any provisions of State or local law.

7. Signature of Applicant

8. Name and Title of Authorized Official

9. Date

MAKER'S CERTIFICATION (not completed by a GOVERNMENT ENTITY)**10. Law Enforcement Notification (See instruction 2i)**

Each applicant is to provide notification of the proposed making and possession of the firearm described on this Form 1 by providing a copy of the completed form to the chief law enforcement officer in the agency identified below:

Agency or Department Name

Name and Title of Official

Address (Street address or P.O. Box, City, State and Zip Code) to which sent (mailed or delivered)

Information for the Chief Law Enforcement Officer

This form provides notification of the applicant's intent to make and register a National Firearms Act (NFA) firearm. No action on your part is required. However, should you have information that may disqualify this person from making or possessing a firearm, please contact the NFA Division at (304) 616-4500 or NFA@atf.gov. A "Yes" answer to items 11.a. through 11.h. or 15.d. or 15.e. could disqualify a person from acquiring or possessing a firearm. Also, ATF will not approve an application if the making or possession of the firearm is in violation of State or local law.

Maker's Questions (complete only when the maker is an individual)

A maker who is an individual must complete this Section.

11. Answer questions 11.a. through 11.h. Answer questions 13, 15, 16 and 17, if applicable. For any "Yes" answer the applicant shall provide details on a separate sheet. (See instruction 7c and definitions)

	Yes	No
a. Are you under indictment or information in any court for a felony, or any other crime, for which the judge could imprison you for more than one year? (See definition 1n)		
b. Have you ever been convicted in any court for a felony, or any other crime, for which the judge could have imprisoned you for more than one year, even if you received a shorter sentence including probation? (See definition 1n)		
c. Are you a fugitive from justice? (See definition 1t)		
d. Are you an unlawful user of, or addicted to, marijuana or any depressant, stimulant, narcotic drug, or any other controlled substance? Warning: The use or possession of marijuana remains unlawful under Federal law regardless of whether it has been legalized or decriminalized for medicinal or recreational purposes in the state where you reside.		
e. Have you ever been adjudicated as a mental defective OR have you ever been committed to a mental institution? (See definition 1o and 1p)		
f. Have you been discharged from the Armed Forces under dishonorable conditions?		
g. Are you subject to a court order restraining you from harassing, stalking, or threatening your child or an intimate partner or child of such partner? (See definition 1q)		
h. Have you ever been convicted in any court of a misdemeanor crime of domestic violence? (See definition 1r)		

Date of Birth:

14a. Ethnicity	<input type="checkbox"/> Hispanic or Latino	14b. Race	<input type="checkbox"/> American Indian or Alaska Native	<input type="checkbox"/> Black or African American	<input type="checkbox"/> White
	<input type="checkbox"/> Not Hispanic or Latino		<input type="checkbox"/> Asian	<input type="checkbox"/> Native Hawaiian or Other Pacific Islander	

15a. Country of Citizenship: (Check/List more than one, if applicable. Nationals of the United States may check U.S.A.) (See definition 1s)

United States of America Other Country/Countries (specify): _____

15b. State of Birth	15c. Country of Birth	Yes	No
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d. Have you ever renounced your United States citizenship?

e. Are you an alien illegally or unlawfully in the United States?

f.1. Are you an alien who has been admitted to the United States under a nonimmigrant visa?

f.2. If "yes", do you fall within any of the exceptions stated in the instructions? Attach the documentation to the application

 N/A

16. If you are an alien, record your U.S.-Issued Alien or Admission number (AR#, USCIS#, or I94#): _____

17. Have you been issued a Unique Personal Identification Number (UPIN)? (See instruction 2f) Yes No If yes please list _____

CERTIFICATION: Under penalties imposed by 18 U.S.C. § 924 and 26 U.S.C. § 5861, I certify that, upon submission of this form to ATF, a completed copy of this form will be directed to the chief law enforcement officer (CLEO) shown in item 10, that the statements, as applicable, contained in this certification, and any attached documents in support thereof, are true and correct to the best of my knowledge and belief. NOTE: See instructions 2.d(2) and 2.d(3) for the items to be completed depending on the type of applicant.

Signature of Maker

Date

CLEO Copy

18. Number of Responsible Persons (*see definitions*) associated with the applicant trust or legal entity _____

19. Provide the full name (printed or typed) below for each Responsible Person associated with the applicant trust or legal entity (*if there are more Responsible Persons than can be listed on the form, attach a separate sheet listing the additional Responsible Person(s)*). Please note that a completed Form 5320.23, National Firearms Act (NFA) Responsible Person Questionnaire, must be submitted with the Form 1 application for each Responsible Person.

Full Name

Full Name

Important Information for Currently Registered Firearms

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Restrictions on Possession: Any restriction (*see approval block on face of form*) on the possession of the firearm identified in item 4 continues with the further transfer of the firearm.

Persons Prohibited from Possessing Firearms: If the registrant becomes prohibited from possessing a firearm, please contact the NFA Division for procedures on how to dispose of the firearm.

Proof of Registration: A person possessing a firearm registered as required by the NFA shall retain proof of registration which shall be made available to any ATF officer upon request.

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The estimated average burden associated with this collection of information is 4.0 hours per respondent or recordkeeper, depending on individual circumstances. Comments concerning the accuracy of this burden estimate and suggestion for reducing this burden should be addressed to Reports Management Officer, Information Technology Coordination Staff, Bureau of Alcohol, Tobacco, Firearms and Explosives, Washington, DC 20226.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.